For Internal Use Submit 1 Original OMB APPROVAL Only and 9 Copies SEC Sec File No. 9-OMB Number: 3235-0504 Mail Processing Expires: August 31, 2010 Section Estimated average burden UNITED STATES SECURITIES AND EXCHANGE COMMISSION hours per response.....3.60 OCT 222018 Washington, D.C. 20549 Washington DC FORM 19b-4(e) 406 Information Required of a Self-Regulatory Organization Listing and Trading a New Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934 READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM Part I **Initial Listing Report** 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: Nasdag Stock Market LLC (traded pursuant to unlisted trading privileges) 2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): **Open End Management Investment Company** 3. Class of New Derivative Securities Product: **Exchange Traded Fund** 4. Name of Underlying Instrument: 18010913 S&P 500 Index 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Securities and Exchange Commission **Broad-based** Trading and Markets 6. Ticker Symbol(s) of New Derivative Securities Product: 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: 001 22 2018 Listed on: CBOE Position Limits of New Derivative Securities Product (if applicable): RECEIVED Regular way trades settle on T + 2 (cash settled) 9. Position Limits of New Derivative Securities Product (if applicable): N/A Part II Execution The undersigned represents that the governing body of the above-referenced Self-Regulatory Organization has duly approved, or has duly delegated its approval to the undersigned for, the listing and trading of the above-referenced new derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing standards. Name of Official Responsible for Form: William Slattery Title: Vice President Telephone Number: +1 301 9788088 Manual Signature of Official Responsible for Form: 1/40M

SEC 2449 (6-01)

Date: October 18, 2018

Act Securities Exchange Aut of 1934

Section 195-9
Rule 195-3(6)

Public Availability: OCT 2 2 2018

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